

01/10/01
JC987 U.S. PTO

01-11-01

A

PTO/SB/05 (08-00)

Please type a plus sign (+) inside this box 

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	GNVPN.019B1USA
First Inventor	James M. Wilson et al
Title	Method for Recombinant Adeno-Associated Virus-Directed Gene Therapy
Express Mail Label No.	EK992703413US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 57]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 16]
5. Oath or Declaration [Total Pages 73]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☒ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Other: 2nd Preliminary Amendment
1 pg Letter

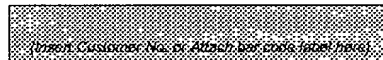
17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09 , 242,977
Prior application information Examiner J. Martin Group / Art Unit 1632

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label



pendence address below

Name	Cathy A. Kodroff, Esquire				
Address	Howson and Howson Spring House Corporate Center, Box 457				
City	Spring House	State	PA	Zip Code	19477
Country	USA	Telephone	215-540-9200	Fax	215-540-5818

Name (Print/Type)	Cathy A. Kodroff	Registration No. (Attorney/Agent)	33,980
Signature		Date	1-10-01

Burden Hour Statement: This form is estimated to take 2.2 hours to complete. Firms will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (09-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2001		Complete if Known		
Patent fees are subject to annual revision.		Application Number		
		Filing Date	Herewith	
		First Named Inventor	James M. Wilson et al	
		Examiner Name	J. Martin	
		Group Art Unit	1632	
TOTAL AMOUNT OF PAYMENT	(\$)	710.00	Attorney Docket No.	GNVPN.019B1USA

METHOD OF PAYMENT		FEE CALCULATION (continued)	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: 08-3040 Deposit Account Name: Howson and Howson <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		3. ADDITIONAL FEES Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Code (\$) Code (\$) Fee Description Fee Paid	
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		105 130 205 65 Surcharge - late filing fee or oath	
FEE CALCULATION		127 50 227 25 Surcharge - late provisional filing fee or cover sheet	
1. BASIC FILING FEE Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description Fee Paid		139 130 139 130 Non-English specification	
101 710 201 355 Utility filing fee 710		147 2,520 147 2,520 For filing a request for <i>ex parte</i> reexamination	
106 320 206 160 Design filing fee		112 920* 112 920* Requesting publication of SIR prior to Examiner action	
107 490 207 245 Plant filing fee		113 1,840* 113 1,840* Requesting publication of SIR after Examiner action	
108 710 208 355 Reissue filing fee		115 110 215 55 Extension for reply within first month	
114 150 214 75 Provisional filing fee		116 390 216 195 Extension for reply within second month	
SUBTOTAL (1) (\$)		117 890 217 445 Extension for reply within third month	
710.00		118 1,390 218 695 Extension for reply within fourth month	
2. EXTRA CLAIM FEES		128 1,890 228 945 Extension for reply within fifth month	
Total Claims 4 -20** = 0 X 18 = 0		119 310 219 155 Notice of Appeal	
Independent Claims 1 -3** = 0 X 80 = 0		120 310 220 155 Filing a brief in support of an appeal	
Multiple Dependent 270 = 0		121 270 221 135 Request for oral hearing	
SUBTOTAL (2) (\$)		138 1,510 138 1,510 Petition to institute a public use proceeding	
0.00		140 110 240 55 Petition to revive - unavoidable	
Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description Fee Paid		141 1,240 241 620 Petition to revive - unintentional	
103 18 203 9 Claims in excess of 20		142 1,240 242 620 Utility issue fee (or reissue)	
102 80 202 40 Independent claims in excess of 3		143 440 243 220 Design issue fee	
104 270 204 135 Multiple dependent claim, if not paid		144 600 244 300 Plant issue fee	
109 80 209 40 ** Reissue independent claims over original patent		122 130 122 130 Petitions to the Commissioner	
110 18 210 9 ** Reissue claims in excess of 20 and over original patent		123 50 123 50 Petitions related to provisional applications	
SUBTOTAL (3) (\$)		126 240 126 240 Submission of Information Disclosure Stmt	
0.00		581 40 581 40 Recording each patent assignment per property (times number of properties)	
**or number previously paid, if greater, For Reissues, see above		146 710 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
		149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
		179 710 279 355 Request for Continued Examination (RCE)	
		169 900 169 900 Request for expedited examination of a design application	
		Other fee (specify) _____	
		*Reduced by Basic Filing Fee Paid	
		SUBTOTAL (3) (\$)	

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Cathy A. Kodroff	Registration No. (Attorney/Agent)	33,980
Signature	Cathy A. Kodroff	Telephone	215-540-9200
		Date	1-10-01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.